



Presidencia de la República Dominicana

Consejo Nacional para el Cambio Climático
y Mecanismo de Desarrollo Limpio



ICAT: DR- AUTOEVALUACIÓN DE NECESIDADES DE CAPACIDADES **República Dominicana**

Preparado: Consejo Nacional para el Cambio Climático y Mecanismo de Desarrollo Limpio

INITIATIVE FOR
**Climate Action
Transparency**

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INTRODUCCIÓN

La Iniciativa para la Transparencia de la Acción Climática para la Adaptación (ICAT-A) pone en práctica la solicitud establecida en el Acuerdo de París para fortalecer las instituciones nacionales y crear las bases para mejorar los requisitos de transparencia en virtud del Acuerdo de París, para implementar, monitorear y evaluar acciones de adaptación efectivas y eficientes de manera transparente.

Uno de los componentes claves de la iniciativa es desarrollar la capacidad de las partes interesadas de los países socios para evaluar e informar sobre la transparencia de la acción de adaptación en todas las escalas, para los fines y siguiendo las directrices de la Herramienta para evaluación de las necesidades de capacidades de las partes interesadas nacionales relevantes, por medio de la cual se evalúan los activos existentes, brechas y demandas específicas para llevar a cabo M&E de intervenciones de adaptación en el país.

METODOLOGÍA

De acuerdo a las recomendaciones realizadas en la Herramienta para Evaluación de las Necesidades de Capacidades para poder conducir los procesos de M&E en las intervenciones de adaptación en el país, cumpliendo con los requerimientos de transparencia en virtud del Acuerdo de Paris, de forma efectiva y eficiente.

La autoevaluación se realizó con la participación de un grupo de expertos de las diferentes áreas de la organización, con responsabilidades dentro de las áreas de Adaptación, Mitigación, Proyecto ICAT-M, donde se discutieron sobre las capacidades existentes en temas de las aspiraciones y estrategia de la organización, los recursos humanos, los sistemas e infraestructura y activos organizacionales para establecer una línea base para evaluar las capacidades organizativas e identificar expectativas de mejora de esos aspectos, con el fin de realizar ejercicios de esta naturaleza con periodicidad.

Para los fines se establece el siguiente punto de contacto para los fines:

Name:	Sr. Moisés Álvarez			
Designation:	Director Técnico			
Organization:	Consejo Nacional para el Cambio Climático y Mecanismo de Desarrollo Limpio			
Organization type:	<input checked="" type="checkbox"/> Government	<input type="checkbox"/> Research/Academia	<input type="checkbox"/> NGO/CSO	
	<input type="checkbox"/> Private Sector	<input type="checkbox"/> International Organization	<input type="checkbox"/> Other	
Contact:	m.alvarez@cambioclimatico.gob.do			
Date:	julio 29, 2019			

Nota: Las secciones posteriores han sido dejadas en inglés, para garantizar la fidelidad de las informaciones requeridas dentro de la Herramienta sugerida para conducir el proceso.

RESULTADOS

A. Aspirations and Strategy

Aspirations refer to the mission, vision and overarching goals of an organization. An organizational strategy serves as a general set of plans intended to achieve the aspirations of an organization. A clear strategy thereby guides and informs the activities of an organization as well as supports organizational growth and capacity building.

A. Aspirations and Strategy	Scoring Criteria				Score	Rationale for provided score supported by evidence (where appropriate)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Mission, vision and goals	No clearly defined mission, vision or organizational goals	Mission and vision exists however goals lack clarity and metrics for measuring attainment	Mission and vision are clearly expressed and entails actionable goals - however not well aligned with national priorities, particularly in regard to climate change action	Well defined mission and vision statements with clear goals, which are widely followed and aligned with national priorities, particularly in regard to climate change action	4	There is an Institutional Strategic Plan to 2023 and an Annual Operational Plan that are aligned and linked to the National Development Strategy to 2030 (FIN-2030) and National Determined Contributions (NDC) that seek to articulate the actions of organizations of the relevant sectors for climate change.	One of the aspects that are identified within the institutional plans is the updating of the language (CERs → ITMOs), inclusion of mechanisms and instruments (Market Mechanisms, Non-market Mechanisms, among others), Include M&E, MRV as well as alignment / linking with new international schemes (SDGs), and updating the legal framework.

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	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Overall strategy	Strategy document does not exist or is largely incoherent and focused on the short term	Strategy document exists, however reflects a short-to-medium term of view for achieving organizational goals	Strategy document, outlining medium-to-long term plans for achieving organizational goals exists - however does not have significant focus on M&E, transparency and reporting	Clear and coherent medium-to-long term strategy in place – both actionable and linked to mission, vision and goals - has strong considerations for M&E, transparency, reporting as well as climate change mainstreaming	2	The organization has an Institutional Strategic Plan with a 2030 horizon (PEI 2030) and for the support of the sectors they have developed enabling plans to address Mitigation such as the one developed with the NDC partnership on mitigation issues and the National Change Adaptation Plan Climate (PANACC) developed in the framework of the preparation of the third national Climate Change communication)	The development of a long-term Integrated Strategy (2050)

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	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Funding model	Largely dependent on a small set of funders, mainly of the same type (e.g. government, donor agencies, private sector etc.)	Access to multiple types of funding (e.g. government, donor agencies, private sector etc.), with only a few funders in each type	Significant range of funding support from varying sources and multiple types (e.g. government, donor agencies, private sector etc.) with some self-financing practices	Wide range of funding support from varying sources and multiple types (e.g. government, donor agencies, private sector etc.) with a strong self-financing / core fund mechanism	1	The way in which the organization's plans and projects are selected depends on the budget ceiling assigned and on donations and / or capture of international initiatives and funds available, but which are not foreseeable. The allocation of budgeted funds is less than finally disbursed	<p>Predictability of international cooperation resources for the development of investments and activities.</p> <p>Identification of joint investment areas (public-private alliance) and investment incentives in joint agendas according to national priorities.</p> <p>Capacity building for access to financing</p> <p>Creation of financing channeling mechanisms</p>

A. Aspirations and Strategy	Scoring Criteria				Score	Rationale for provided score supported by evidence (where appropriate)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
M&E framework	M&E framework does not exist or is outdated and irrelevant	M&E framework in place with linkages to organization’s mission, vision and overarching goals - - but does not have weakly defined outputs, outcomes and indicators with targets, data sources, data collection methods, persons responsible, and frequency of reporting	M&E framework with clearly defined outputs, outcomes, and indicators with targets, data sources, data collection methods, persons responsible, and frequency of reporting – however it is not well aligned with donors’ and government’s information systems and does not entail a learning component	Comprehensive M&E framework in place, which is well aligned with the organization’s strategy and aspirations as well as donors’ and government’s information systems – the plan outlines definite outputs, outcomes, and indicators with targets, data sources, data collection methods, persons responsible, and frequency of reporting, and there is significant focus on learning	1	As a government entity, technical follow-up is given to the generation of institutional products and objectives set out in its strategic plans. Technical, administrative and financial monitoring of activities and processes within the organization.	As a government entity, technical follow-up is given to the generation of institutional products and objectives set out in its strategic plans. Technical, administrative and financial monitoring of activities and processes within the organization.

A. Aspirations and Strategy	Scoring Criteria				Score	Rationale for provided score supported by evidence (where appropriate)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Financial allocation for M&E	Limited budget (2% - 3%) allocated towards M&E at the organizational level	Limited budget (2% - 3%) allocated towards M&E at the organizational level and also towards individual projects/programmes	Moderate budget (4% - 6%) allocated towards M&E at the organizational level and also towards individual projects/programmes	Adequate budget (7% - 10%) allocated towards M&E at the organizational level and also towards individual projects/programmes	1	Institutional Annual Operating Plan (POA) has limited lines of action and processes that could be considered as aligned with the M&E objective, given that there is no such system and objective within the POA.	Definition of roles, processes, activities and impact within the institutional mission for the allocation of funds from the institutional budget for M&E.

B. Human Resources

Human resources refer to the people who manage or work for an organization, as well as the processes in place for supporting and developing them to fulfill their functions well and contribute towards the organization's aspirations. To ensure effective M&E systems for and enhanced reporting on climate change adaptation, it is vital that staffing levels are appropriate and the relevant staff possess necessary knowledge and skills. Senior management need to also demonstrate strong leadership qualities by offering guidance and support.

B. Human Resources	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Leadership quality	Limited technical expertise within leadership positions – also characterized by little direction and low commitment from senior management, particularly towards M&E	Senior management / steering committee provide necessary direction and support but do not have adequate technical expertise and demonstrates low commitment and engagement for M&E	Senior management / steering committee possess necessary technical expertise, provide strong direction and support, however is not actively engaged in M&E processes	Senior management / steering committee possess necessary technical expertise, embodies diversity and provide strong direction and support as well as active participation at all levels of M&E	4	The active role of the leadership of the Council has not only positioned it at the institutional level in the matter with proposals and generation of proposals, but also within the country, with the support of projects under the modality of South South, triangular cooperation	Peer to peer- high level experience share for the region and participation in high-level intergovernmental dialogues.
Staffing levels	No dedicated unit for M&E in place	A dedicated unit for M&E at the organization level exists, but lacks leadership	A dedicated unit for M&E at the organization level, but M&E staff is not allocated to all projects	A dedicated unit for M&E at the organization level and 1-2 M&E staff is allocated to all projects	1	The adaptation department and the ad-hoc planning and development department follow up on projects that have to do with adaptation and keep track of products,	Define the delivery chain of adaptation measures in the different sectors, identify indicators and define appropriate evaluation methodology, generate agreements for the provision of data, creation or adaptation of the infrastructure for data processing and establish control mechanisms

B. Human Resources	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
							Quality and process feedback
Knowledge and technical skills	Staff in the M&E unit do not have necessary training, technical expertise or professional experience on M&E as well as on climate change adaptation	Some staff in the M&E unit have necessary training, technical expertise or professional experience on M&E, but not on climate change adaptation	All staff in the M&E unit have necessary training, technical expertise or professional experience on M&E, but not on climate change adaptation	All staff in the M&E unit have necessary training, technical expertise or professional experience on M&E as well as on climate change adaptation	1	There are no specific personnel assigned to the M&E unit. Training has been conducted and some technicians have developed interest and skills on the subject.	Create a critical mass of professionals within the CNCCMDL and the critical critical institutions for M&E. In recognition of the value chain and results, identification of indicators, evaluation of indicators, benefit-cost evaluation of the indicator, methodology of evaluation of indicators.
Access to training and capacity building initiatives	Staff in the M&E unit do not generally have access to training and capacity development opportunities	Staff in the M&E unit have some access to training and capacity development opportunities, however this is somewhat irregular	Staff in the M&E unit have regular access to training and capacity development opportunities, however this is	All staff in the M&E unit have regular access to training and capacity development opportunities, on a diverse range of topics and skillset	1		Several proposals to address the issue, try to increase the capacity of human resources (UNEP-DTU, ICAT, proposal of the CBIC).

B. Human Resources	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
		and infrequent	limited to those in leadership positions				

C. Systems and Infrastructure

These are the processes, procedures and systems in place for running an organization in a coherent and consistent manner and are therefore vital for ensuring robust M&E systems as well as enhance transparency and reporting of an organization.

C. Systems and Infrastructure	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Decision-making framework	Decisions are largely made on an ad-hoc and informal basis by person in highest position of leadership	Decision-making processes are established on record, but are not always strictly followed	Clear and formal systems for decision-making with some degree of dissemination of decisions among the organization	Clear and formal systems for decision-making, entailing broad participation and good dissemination practices	1		Development of a set of rules and procedures for the construction of an M&E within the organization and guidelines for the functionality with the data providers and users of the information and data provided. (Decision tree, guides and operating procedures, among others).
Financial	Basic financial	Financial activities	Formal internal	Robust systems	3	Annual Operating Plans and	Integrated Information System

C. Systems and Infrastructure	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
operations management	activities undertaken with supporting documentation collected and retained, however there is limited transparency	are transparent, and are clearly and consistently recorded, documented and tracked	controls in place governing all financial operations including tracking, reporting and cash flow management	and controls in place governing all financial operations including tracking, reporting which are well aligned with organizational strategy and aspirations		Budgets National Budget Execution Reports and the different donors	that links the technical and budgetary part at the planning / execution level.
Interfunctional coordination	Different programmes/divisions/units function in silos and have limited coordination among them	Clear definitions of how different programmes/divisions/units should function together, however there is infrequent interaction and coordination among them	Substantial interaction among different programmes/divisions/units with some sharing of information and resources	All programmes/divisions/units function together effectively with proactive sharing of information and resources	3	Follow-up meetings for projects and activities held every two weeks.	Creation of technical discussion tables peer to peer to define synergies and effective processes.
Knowledge management	No established systems in place for capturing and documenting internal	Some systems and procedures in place, however they are not comprehensive	Systems exist which are somewhat comprehensive, but are not widely	Well-designed, comprehensive and user-friendly systems in place, which are widely	2	Reports on the participation of staff in training activities are reviewed.	It requires a mechanism or strategy to consolidate the information received, where it is received, analyzed, systematized and identified to capitalize

C. Systems and Infrastructure	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
	knowledge and organizational data	(e.g. easy access to data and information, user-friendliness of data-collection tools, data analysis etc.)	used for guiding future actions (e.g. organizational growth, policy influencing etc.)	used for guiding future actions			institutionally.
External communication	No established systems in place for communicating to relevant stakeholders	Some systems exist (e.g. websites, social media, print media etc.), but not actively used and often partially targeted	Systems exist and are widely used, but they are not well targeted at relevant stakeholders	Robust systems in place for communicating with relevant stakeholders (e.g. communication strategy) and are well used and targeted to pursue organizational goals	4	The institution has different social networks, portals and electronic channels. Similarly, there is an information access office (OAI) where users can have access to all institutional information.	You can improve and update the contact database, profile your interests and link levels.
Information and communication	Inadequate access to necessary equipment,	Sufficient access to equipment, hardware and	Significant access to necessary equipment,	Wide access to necessary equipment and	3	Equipment, software, hardware, murals	For the purpose of hosting a transparency system that serves as a Hub and information

C. Systems and Infrastructure	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
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on technology (ICT)	hardware and software for data collection as well as knowledge management, resulting in loss of effectiveness and efficiency	software required to meet the most important and immediate needs	however advanced hardware and software not available	also advanced hardware and software for data collection as well as knowledge management, that contribute towards enhanced effectiveness and efficiency			processing, updating of web-software equipment and expanding storage capacities and external servers is required.
Gender and social inclusion	No gender and social inclusion strategy or guidelines exist and inclusion not actively practiced	Gender and social inclusion strategy or guidelines in place, however not actively practiced	Gender and social inclusion strategy in place and actively practiced, but is not mainstreamed across different programmes	Comprehensive gender and social inclusion strategy in place and mainstreamed across different programmes, ensuring an enabling space for inclusive participation and contribution of diverse views	3	More than 60% of staff is female and participation in the decision-making process are always welcome and encouraged.	Creation of specialized and awareness instruments in gender issues.

C. Systems and Infrastructure	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
				towards strategic decision-making			

D. Organizational Assets

Organizational assets refer to the many types of skills or aptitudes required for effective functioning of an organization, in line with its mission, vision and goals. These assets serve as building blocks for robust M&E systems and enhanced transparency and reporting of organization’s activities.

D. Organizational Assets	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Understanding of issue, context and role of relevant stakeholders	Limited knowledge and understanding on the issue of climate change adaptation, relevant actors as well as the local context	Basic understanding on the issue of climate change adaptation, relevant actors as well as the local context	Solid knowledge and understanding on the issue of climate change adaptation, relevant actors as well as the local context, however with limited scope for regular and continuous learning	Extensive knowledge on the issue of climate change, relevant actors, local context as well as the international policy architecture, with systems and processes in place for regular and continuous learning	3	The importance of adaptation is present at all levels from the political constitution, local planning plans, and the different training processes carried out to entities and communities.	Continuous training program to update on issues evolution in the national and international context of adaptation.
Partnerships	Small network of	Medium network	Vast network of	Vast network of	4	The CNCCMDL, as part of its	Creation of sectoral Dialogue

D. Organizational Assets	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
/network development and fostering	partners, mostly comprised of the same type of organizations within the climate change arena and relationships are largely informal	of partners, comprised of a variety of organizations within the climate change arena, however relationships entail limited communication and scope for cross-learning	partners comprised of a diverse range of organizations within the climate change arena, however relationships are not actively maintained and communication and cross-learning is fostered	partners comprised of a diverse range of organizations with strong and well-maintained relationships that are mutually beneficial		nature, contains within its structure a group of organizations that serves as a consultation platform for the development of policies and initiatives on these issues. For other issues, institutional agreements have been developed according to the convenience and nature of the subject in question.	tables and with communities for the knowledge of their needs in adaptation issues.
Local community presence and engagement	Presence either not recognized or generally not regarded as positive	Presence somewhat recognized and generally regarded as positive within the community	Reasonably well recognized and regarded as positive within the community or sector, however with limited participation of community in planning and implementation	Widely recognized within the community or sector and regarded as proactive and responsive to community needs, also ensuring community participation	2	As part of the training processes, training is carried out in the communities, at the request of the organizations.	Inclusion of local organizations in territorial and sectorial dialogues.

D. Organization al Assets	Scoring Criteria				Score	Rationale and supporting evidence for provided score (if any)	Possible strategies and action steps for achieving a higher score (where appropriate)
	(1) Clear need for increased capacity	(2) Basic level of capacity	(3) Moderate level of capacity	(4) High level of capacity			
Policy influence	Limited scope or awareness regarding possibilities for influencing policy-making	Moderate awareness regarding possibilities for influencing policy-making with limited scope for influence	High awareness regarding possibilities for influencing policymaking with some scope for contributing to policy formulation	Actively engaged in policy influencing and formulation processes at both the local and national level	3	<p>The political level influence of the organization is justified by the fact that it is the only Council presided over by the President of the Republic. The levels of support not only at the level of the executive sphere of state powers but also at the level of the legislative apparatus, where participation in the design and discussion of the Solid Waste Law project (currently in Congress), the draft Climate Change Law.</p> <p>The responsibility for cross-cutting the National Climate Change Policy is also shared with the Ministry of Economy, Planning and Development (MEPYD) and the Ministry of Environment and Natural Resources (decree 269-15)</p>	Creation of high-level normative political discussion space, to generate studies of policy implications in climate change issues.

E. Delivery Modalities

This section is intended to gauge key topics of interest to respondents and also to identify preferred modes of training delivery

i) Which of the following topics would you like to receive training on? Please score according to preference

1 = Zero preference ; 2 = Low preference ; 3 = Medium preference ; 4 = High preference							
Climate change science, processes and responses (adaptation & mitigation)	2	Developing a theory of change	2	Collecting, analyzing and using qualitative data	4	Software packages for data analysis	4
National policies and plans on climate change	4	Developing and using a logical framework	3	Questionnaire design	2	Reporting M&E results	4
International climate change policy landscape	2	Different tools, methods and approaches to M&E	4	Simple statistics for undertaking M&E	4	Using M&E results to guide decision-making and policies	4
<i>List any other relevant topics that you would like to receive training on</i>							

ii) What mode(s) of delivery would you prefer to be used during training programmes? Please score according to preference

1 = Zero preference ; 2 = Low preference ; 3 = Medium preference ; 4 = High preference					
Presentation by lecturers/experts	2	Field work and case study	4	Personal action plan development	2
Group exercises	3	Interactive discussions	4	Mentoring and coaching	4
<i>List any other mode of delivery that you would like to be employed</i>					